

**UTILITY PATENT APPLICATION TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Dock t N . 42P14705D

(maximum 12 characters)

First Nam d Inv ntor Robert S. Chau et al.Title: NOVEL FIELD TRANSISTOR AND METHOD OF FABRICATIONExpress Mail Label No. EV 335 418 158 US

ADDRESS TO:      Mail Stop Patent Application  
                         Commissioner for Patents  
                         P.O. Box 1450  
                         Alexandria, Virginia 22313-1450

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.      X        **Fee Transmittal Form (e.g., PTO/SB/17)**  
                    (Submit an original and a duplicate for fee processing)
2.                **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3.      X        **Specification (Total Pages   22  )**  
                    (preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table,  
                    or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.      X        **Drawings(s) (35 USC 113) (Total Sheets   3  )**
5.      X        **Oath or Declaration (Total Pages   8  )**
  - a.                Newly Executed (Original or Copy)
  - b.      X        Copy from a Prior Application (37 CFR 1.63(d))  
                    (for Continuation/Divisional with Box 18 completed)
    - i.                DELETIONS OF INVENTOR(S) Signed statement attached deleting  
                    inventor(s) named in the prior application, see 37 CFR 1.63(d)(2)  
                    and 1.33(b).
  - c.                Unsigned.
6.                **Application Data Sheet. (37 CFR 1.76)**
7.                CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.                Nucleotide and/or Amino Acid Sequence Submission  
                    (if applicable, all necessary)
  - a.                Computer Readable Form (CRF)
  - b.                Specification Sequence Listing on:
    - i.                CD-ROM or CD-R (2 copies); or
    - ii.                paper

315342 U.S. PTO  
10/728608

c. \_\_\_\_\_ Statements verifying identity of above copies

### ACCOMPANYING APPLICATION PARTS

9. \_\_\_\_\_ **Assignment Papers (cover sheet & documents(s))**  
10. \_\_\_\_\_ a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)  
      X   b. Power of Attorney  
11. \_\_\_\_\_ English Translation Document (if applicable)  
12. \_\_\_\_\_ a. Information Disclosure Statement (IDS)/PTO-1449 (or PTO/SB/08)  
    \_\_\_\_\_ b. Copies of IDS Citations  
13.   X   **Preliminary Amendment**  
14.   X   **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**  
15. \_\_\_\_\_ Certified Copy of Priority Document(s) (if foreign priority is claimed)  
16. \_\_\_\_\_ **Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**  
17A.   X   Other:   Formal Drawings Submission

17B.   X   Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet Under 37 C.F.R. 1.76:

\_\_\_\_\_ Continuation   X   Divisional \_\_\_\_\_ Continuation-in-part (CIP)  
Of Prior Application No.:   10/306,640   Examiner   Nguyen, Dao H.   Group Art Unit   2818    
(which is a \_\_\_\_\_ continuation/ \_\_\_\_\_ divisional/ \_\_\_\_\_ CIP of prior application no. \_\_\_\_\_,  
which is a \_\_\_\_\_ continuation/ \_\_\_\_\_ divisional/ \_\_\_\_\_ CIP of prior application no. \_\_\_\_\_) (List entire chain of priority)

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.  
For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. Correspondence Address  
\_\_\_\_\_ Customer Number or Bar Code Label \_\_\_\_\_  
or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label here)  
  X   Correspondence Address Below  
NAME   Michael A. Bernadicou    
  BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP    
ADDRESS   12400 Wilshire Boulevard    
  Seventh Floor    
CITY   Los Angeles   STATE   California   ZIP CODE   90025    
Country   U.S.A.   TELEPHONE   (408) 720-8300   FAX   (408) 720-8383  

Name (PRINT/TYPE):   Michael A. Bernadicou   Registration No.:   35,934    
Signature:   [Signature]   Date:   12/5/03

**UTILITY PATENT APPLICATION TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney D c k t N . 42P14705D  
(maximum 12 characters)First Named Invent r Robert S. Chau et al.Title: NOVEL FIELD TRANSISTOR AND METHOD OF FABRICATIONExpress Mail Label No. EV 335 418 158 US**ADDRESS TO:** Mail Stop Patent Application  
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- 17A. X Other: Formal Drawings Submission

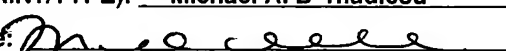
17B.. X Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.

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Of Prior Application No.: 10/306,640 Examiner Nguyen, Dao H. Group Art Unit 2818  
(which is a \_\_\_\_\_ continuation/ \_\_\_\_\_ divisional/ \_\_\_\_\_ CIP of prior application no. \_\_\_\_\_,  
which is a \_\_\_\_\_ continuation/ \_\_\_\_\_ divisional/ \_\_\_\_\_ CIP of prior application no. \_\_\_\_\_) (List entire chain of priority)

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.  
For **CONTINUATION AND DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. **Correspondence Address**  
\_\_\_\_\_ Customer Number or Bar Code Label \_\_\_\_\_  
or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label here)  
X **Correspondence Address Below**  
NAME Michael A. Bernadicou  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
ADDRESS 12400 Wilshire Boulevard  
Seventh Floor  
CITY Los Angeles STATE California ZIP CODE 90025  
Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-8383

Name (PRINT/TYPE): Michael A. Bernadicou Registration No.: 35,934  
Signature:  Date: 12/5/03

## (FY 2004 Begins 10/01/2003)

**Complete if Known:**

**Filing Date** Herewith

Examiner Name Not yet assigned

|          |                  |
|----------|------------------|
| Art Unit | Not yet assigned |
|----------|------------------|

Attorney Docket No. 42P14705D

**Applicant claims small entity status. See 37 CFR 1.27.**

**METHOD OF PAYMENT** (check all that apply)

☒ **X**    **Check**    ☐ **Credit Card**    ☐ **Money Order**    ☐ **Other**    ☐ **None**

**Deposit Account**

**Deposit Account Number : 02-2666**

**Deposit Account Name:** \_\_\_\_\_

**X The Director is Authorized to do the following with respect to the above-identified Deposit Account:**

**Charge fee(s) indicated below.**

|          |                                 |
|----------|---------------------------------|
| <b>X</b> | <b>Credit any overpayments.</b> |
|----------|---------------------------------|

|          |  |
|----------|--|
| <b>X</b> | <b>Charge any additional fees during the pendency of this application.</b> |
|----------|--|

**X Any concurrent or future reply that requires a petition for extension of time should be treated as incorporating an appropriate petition for extension of time and all required fees should be charged.**

**Charge fee(s) indicated below except for the filing fee.**

## FEE CALCULATION

## 1. BASIC FILING FEE

| <u>Large Entity</u> |      | <u>Small Entity</u> |      |                                    |                 |
|---------------------|------|---------------------|------|------------------------------------|-----------------|
| Fee                 | Fee  | Fee                 | Fee  |                                    |                 |
| Code                | (\$) | Code                | (\$) | <u>Fee Description</u>             | <u>Fee Paid</u> |
| 1001                | 770  | 2001                | 385  | Utility application filing fee     | \$770.00        |
| 1002                | 340  | 2002                | 170  | Design application filing fee      |                 |
| 1003                | 530  | 2003                | 265  | Plant filing fee                   |                 |
| 1004                | 770  | 2004                | 385  | Reissue filing fee                 |                 |
| 1005                | 160  | 2005                | 80   | Provisional application filing fee |                 |

**SUBTOTAL (1) \$ 770.00**

## **2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

|                    |           |          | <u>Extra Claims</u> | <u>Fee from below</u> | <u>Fee Paid</u> |
|--------------------|-----------|----------|---------------------|-----------------------|-----------------|
| Total Claims       | <u>14</u> | - 20** = | <u>0</u>            | X \$18.00 =           |                 |
| Independent Claims | <u>2</u>  | - 3** =  | <u>0</u>            | X \$86.00 =           |                 |
| Multiple Dependent |           |          |                     | \$290.00 =            |                 |

**\*\*Or number previously paid, if greater; For Reissues, see below.**

| <u>Large Entity</u> |      | <u>Small Entity</u> |      |  |
|---------------------|------|---------------------|------|--|
| Fee                 | Fee  | Fee                 | Fee  |  |
| Code                | (\$) | Code                | (\$) | <u>Fee Description</u>                                   |
| 1202                | 18   | 2202                | 9    | Claims in excess of 20                                   |
| 1201                | 86   | 2201                | 43   | Independent claims in excess of 3                        |
| 1203                | 290  | 2203                | 145  | Multipl dependent claim, if n t paid                     |
| 1204                | 86   | 2204                | 43   | **Reissue indep ndent claims v r riginal patent          |
| 1205                | 18   | 2205                | 9    | **Reissu claims in exc ss of 20 and over original patent |

**SUBTOTAL (2)    \$ 0.00**

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| <u>Larg Entity</u> |             | <u>Small Entity</u> |             | <u>Fee Description</u>   | <u>Fee Paid</u> |
|--------------------|-------------|---------------------|-------------|--|-----------------|
| <u>F</u>           | <u>e</u>    | <u>Fee</u>          | <u>Fe</u>   |  |                 |
| <u>Code</u>        | <u>(\$)</u> | <u>Code</u>         | <u>(\$)</u> |  |                 |
| 1051               | 130         | 2051                | 65          | Surcharge - late filing fee or oath  |                 |
| 1052               | 50          | 2052                | 25          | Surcharge - late provisional filing fee or cover sheet                     |                 |
| 1053               | 130         | 1053                | 130         | Non-English specification  |                 |
| 1812               | 2,520       | 1812                | 2,520       | For filing a request for ex parte reexamination                            |                 |
| 1813               | 8,800       | 1813                | 8,800       | Request for inter parties reexamination                                    |                 |
| 1804               | 920*        | 1804                | 920*        | Requesting publication of SIR prior to Examiner action                     |                 |
| 1805               | 1,840*      | 1805                | 1,840*      | Requesting publication of SIR after Examiner action                        |                 |
| 1251               | 110         | 2251                | 55          | Extension for reply within first month                                     |                 |
| 1252               | 420         | 2252                | 210         | Extension for reply within second month                                    |                 |
| 1253               | 950         | 2253                | 475         | Extension for reply within third month                                     |                 |
| 1254               | 1,480       | 2254                | 740         | Extension for reply within fourth month                                    |                 |
| 1255               | 2,010       | 2255                | 1,005       | Extension for reply within fifth month                                     |                 |
| 1401               | 330         | 2401                | 165         | Notice of Appeal   |                 |
| 1402               | 330         | 2402                | 165         | Filing a brief in support of an appeal                                     |                 |
| 1403               | 290         | 2403                | 145         | Request for oral hearing   |                 |
| 1451               | 1,510       | 1451                | 1,510       | Petition to institute a public use proceeding                              |                 |
| 1452               | 110         | 2452                | 55          | Petition to revive - unavoidable   |                 |
| 1453               | 1,330       | 2453                | 665         | Petition to revive - unintentional   |                 |
| 1501               | 1,330       | 2501                | 665         | Utility issue fee (or reissue)   |                 |
| 1502               | 480         | 2502                | 240         | Design issue fee   |                 |
| 1503               | 640         | 2503                | 320         | Plant issue fee  |                 |
| 1460               | 130         | 1460                | 130         | Petitions to the Commissioner  |                 |
| 1807               | 50          | 1807                | 50          | Processing fee under 37 CFR 1.17(q)  |                 |
| 1806               | 180         | 1806                | 180         | Submission of Information Disclosure Stmt                                  |                 |
| 8021               | 40          | 8021                | 40          | Recording each patent assignment per property (times number of properties) |                 |
| 1809               | 770         | 2809                | 385         | For filing a submission after final rejection (see 37 CFR 1.129(a))        |                 |
| 1814               | 110         | 2814                | 55          | Statutory Disclaimer   |                 |
| 1810               | 770         | 2810                | 385         | For each additional invention to be examined (see 37 CFR 1.129(b))         |                 |
| 1801               | 770         | 2801                | 385         | Request for Continued Examination (RCE)                                    |                 |
| 1802               | 900         | 1802                | 900         | Request for expedited examination of a design application                  |                 |
| 1504               | 300         | 1504                | 300         | Publication fee for early, voluntary, or normal pub.                       |                 |
| 1505               | 300         | 1505                | 300         | Publication fee for republication  |                 |
| 1803               | 130         | 1803                | 130         | Request for voluntary publication or republication                         |                 |
| 1808               | 130         | 1808                | 130         | Processing fee under 37 CFR 1.17(i) (except provisionals)                  |                 |
| 1454               | 1,330       | 1454                | 1,330       | Acceptance of unintentionally delayed claim for priority                   |                 |

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3) \$ 0.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: Michael A. BernadicouSignature:  Date: 12/5/03Reg. Number: 35,934 Tel phone Num b r: (408) 720-8300

Send to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

## (FY 2004 Begins 10/01/2003)

**Complete if Known:**

Attorney Docket No. 42P14705D

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           Charge fee(s) indicated below except for the filing fee.

**SUBTOTAL (1)    \$ 770.00**

**SUBTOTAL (2) \$ 0.00**

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| <u>Large Entity</u> |             | <u>Small Entity</u> |             | <u>Fee Description</u>   | <u>Fee Paid</u> |
|---------------------|-------------|---------------------|-------------|--|-----------------|
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| <u>Code</u>         | <u>(\$)</u> | <u>Code</u>         | <u>(\$)</u> |  |                 |
| 1051                | 130         | 2051                | 65          | Surcharge - late filing fee or oath  |                 |
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**SUBMITTED BY:**Typed or Printed Name: Michael A. BernadicouSignatur: *Michael Bernadicou* Date: 12/5/03Reg. Number: 35,934 Telephon Number: (408) 720-8300

Send to : Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|   |   |                            |
|---|---|----------------------------|
| In re Application of:   | ) |                            |
| Robert S. Chau et al.   | ) | Examiner: Not yet assigned |
|   | ) |                            |
| Serial No.: Not yet assigned                                    | ) | Art Unit: Not yet assigned |
|   | ) |                            |
| Filed: Herewith   | ) |                            |
|   | ) |                            |
| For: NOVEL FIELD EFFECT TRANSISTOR<br>AND METHOD OF FABRICATION | ) |                            |
|   | ) |                            |
| Which is a Divisional of Application of:                        | ) |                            |
|   | ) |                            |
| Serial No: 10/306,640   | ) |                            |
|   | ) |                            |
| Filed: November 27, 2002  | ) |                            |

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**FORMAL DRAWINGS SUBMISSION**

Enclosed herewith for submission in the United States Patent and Trademark Office are three (3) sheets of formal drawings for the patent application referenced above.

"Express Mail" mailing label number: EV 335 418 158 US

Date of Deposit: December 5, 2003

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to Mail Stop New Patent Application, COMMISSIONER FOR PATENTS, P.O. Box 1450, Alexandria, VA 22313-1450

Teresa Edwards

(Typed or printed name of person mailing paper or fee)

Teresa Edwards  
(Signature of person mailing paper or fee)

December 5, 2003  
(Date signed)

If there are any further charges please charge them to Deposit Account No. 02-2666. A duplicate of this sheet is enclosed for that purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 12/5, 2003   
Michael A. Bernadicou  
Reg. No. 35,934

12400 Wilshire Boulevard  
Seventh Floor  
Los Angeles, California 90025-1026  
(408) 720-8300